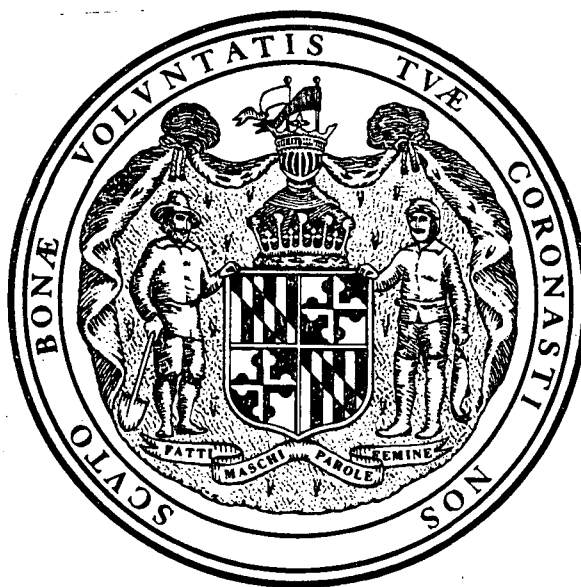


RECORDS RETENTION SCHEDULE

SCHEDULE NO. 612



DEPARTMENT OF LICENSING AND REGULATION

1975



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RECORDS RETENTION AND DISPOSITION

I. INTRODUCTION

Each State agency is required by a 1953 Act of the General Assembly to "develop a continuing program for the economical and efficient management of its records, including the establishment and/or revision of records retention schedules, in order to insure prompt and orderly disposal of records not required by the operations of the agency."

Major program objectives include moving records out of high-cost office space and filing equipment into low-cost State Records Centers as rapidly as practical and disposing of records no longer warranting retention. Experience in a number of agencies proves that at least 50 percent of their records can be transferred to a records center. An agency can reach this goal by transferring about 10 percent of its records each year. Only current files should be kept in prime space and equipment.

The key to effective records disposition is the records retention schedule. This schedule lists and describes the records and indicates when they shall be disposed of or directs their permanent retention. Records retention schedules, however, are of little value unless they are systematically maintained and applied to the records of the agency concerned.

II. RECORDS DISPOSITION PROCEDURES

A. Instructions for Transferring Records to a State Records Center

1. Program Objectives

One of the Records Management Division's major program objectives is to keep noncurrent inactive records moving out of high-cost space and filing equipment into low-cost records centers as rapidly as practical. A criterion to be used for retirement purposes is that files referred to not more than once a month per file drawer should be transferred. However, critical shortages of office space and equipment may indicate the need for early retirement of the more active files. Under these conditions, special arrangements can be made with the Records Management Division to effect the transfer.

Arrangements for transferring records are made by telephone or writing to the records center in the area in which the records are located. Records centers will accept any records offered by State agencies provided the records have

a retention period of one or more years remaining and that the facilities and personnel for storing and providing reference service on the records are available.

Priority should be given to the transfer of records from office spaces, from space convertible to office use, from leased space, and from filing equipment which can be reused.

2. Records Center Cartons

Standard cardboard containers are available to transfer files to State records centers. A records center carton has inside dimensions of 10" x 12" x 15" and holds one cubic foot of either letter or legal-size records. Estimates of the total number of cubic feet to be transferred can be made by:

- a. Counting each full letter-size file drawer as 1½ cubic feet of records.
- b. Counting each full legal-size file drawer as 2 cubic feet of records.

Records center cartons may be obtained, without charge, from the nearest State records center.

3. Screening the Records

Before putting files in cartons, screen out all unnecessary nonrecord material and all records authorized for immediate disposal. Screening at the time of transfer results in savings and should be omitted only:

- a. If the need for the space occupied by the records is urgent.
- b. If the cost of screening outweighs the savings.

4. Packing the Records

- a. In packing the records, two records series, if they have different retention periods, should not be placed in the same carton.
- b. The records should be arranged in the cartons exactly in the same arrangement that existed in the filing equipment from which they were removed.
- c. Folders should not be placed on top of those filed in the cartons. This practice results in bulging of the cartons, thereby making them difficult to close properly.
- d. Space should be allowed for interfiles or accretions if they are anticipated.

- e. If no accretions are expected, the records should be packed tightly enough to prevent "slumping" and wrinkling of paper, but not so tight as to hinder withdrawal.

5. Numbering Cartons

Cartons should be numbered consecutively, starting with No. 1, for each transfer. Write the number on the front of the carton in the upper left-hand corner reserving the upper right-hand corner for the accession number entered by records center personnel. Across the center, print a brief description of the records, e.g. "Gen. Acctg. Records--1972."

6. Preparing Records Transfer Forms

The transfer of records to a State records center requires the completion of Form DGS-RM-11, Records Transmittal and Receipt. It should be prepared by the transferring agency in triplicate and either mailed in advance or sent with the records when shipped to the records center. When necessary, additional sheets of plain bond paper should be used to provide additional finding aids for records which cannot be fully described on the transmittal form. See the Records Disposition Manual for examples and additional information.

7. Distribution of Copies of Records Transmittal and Receipt

Copies of Form DGS-RM-11 can be obtained from the nearest State records center. Each transfer should be documented in triplicate and all three copies sent to the records center. One copy, signed by a center official, is returned to the transferring agency. This is the agency's receipt. It provides accession and container numbers which should be used by the agency when making future reference to the records. The other two copies will be retained at the center for the maintenance, reference and disposition of the records.

8. Shipping the Records

Whenever possible, the transfer of records to a State records center should be accomplished by means of agency vehicles. However, when no transportation is available, the center will assist in arranging transportation. The center should be notified several days in advance of such transfers so that savings can be realized by scheduling and consolidating pickups from the same locality. Addresses and telephone numbers of the State records centers are:

Location:

Annapolis - State Records Center
Treasury Building, Rm. B-27
Annapolis, Maryland 21401
Tel: (301) 267-5017
MARCOM 224-5017

Baltimore - State Records Center
State Office Building, Rm. B-4
301 W. Preston Street
Baltimore, Maryland 21201
Tel: (301) 373-2097
MARCOM 222-2097

Waterloo - State Records Center
State Warehouse
Route 175 at Route 1
Jessup, Maryland 20794
Tel: (301) 799-1379*

*If the Waterloo Records Center cannot be reached by phone, call the Annapolis Records Center.

B. Instructions for Obtaining Reference Service

1. Reference Service Available

State agencies can get fast reference service on records in State records by completing and submitting a request Form DGS-RM-102 (see Records Disposition Manual), by telephone, (only urgent requests are accepted by phone), by letter or by a personal visit to the Center. Center personnel will make every effort to complete all requests for service within 24 hours of receipt.

Services offered by the centers include loan or return of the records, information from the records or reproductions of them.

2. Making the Request

When seeking service, agency personnel should specify:

- a. The name of the agency and the name, office address and telephone number of the person making the request.
- b. A description of the record or information needed.

- c. The accession or lot number of the transfer and the agency box number in which the requested records can be found. When the center location number is available, it should be given also.

3. Access of Records to Visitors

Agency officials, officials of other state or government agencies, members of the press, and private citizens who make personal visits to the centers to examine records or messengers sent to pick up records must always provide:

- a. Identification as an agency representative member of the press, or other.
- b. Agency authorization if there are restrictions on the use of the records.

4. Restrictions on Use of the Records

Use of the records is governed by restrictions established by the transferring agency.

C. Records Center Procedures for the Disposal of Records

1. Agency Records Disposal

The transfer of records to inexpensive records center space is not a substitute for disposal. Rather, it goes hand in hand with disposal. Records to be retained for less than a year should be destroyed from agency space and centers will refuse to accept such records.

2. Retention of Records Beyond Scheduled Disposal Date

Prior to the scheduled date of disposal of specified records in a State records center, a letter is prepared and sent to the concerned agency announcing the center's intention of destroying the records as scheduled thirty days from the date of the letter. Unusual circumstances might warrant further retention and, in this eventuality, the agency should send in a request of postponement of disposal accompanied by a justification for the delay. At the termination of the thirty-day period, if no further retention has been requested, disposal of the records is accomplished.

D. Instructions for Disposal of Records at the Agency

The two chief elements of a records disposition program are (1) the retirement of noncurrent records to the economical storage space of a State records center and (2) the disposal of records not warranting further preservation under even the most economical storage conditions.

Nonrecord material will not be accepted for storage and can be destroyed when no longer required. Nonrecord material consists of materials created or acquired solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference and stocks of publications and reproduced documents. Common types of nonrecord material include pamphlets, manuals, extra copies of reproduced directives, circular letters, extra copies of documents maintained for convenience, such as reading file and tickler and suspense file copies of correspondence; work papers, such as drafts of letters or memoranda; shorthand notes and notebooks that have been transcribed; and other temporary papers used to control work in progress.

Transfers to centers merely involve a transfer of custody or a new location for the files. The only way to avoid a constant expansion of records holdings and the need for space and equipment for their storage is to effect continually and vigorously the disposal of unneeded records directly from the offices where they are maintained.

Records which have one year or less remaining of their scheduled retention should not be transferred to a records center. In such instances, they should be retained in the office for the required period and then destroyed.

1. Applying Records Retention Schedules

In applying records retention schedules:

- a. Match the records maintained in the office with the appropriate schedule.
- b. If no existing schedule covers the records, postpone disposal until an authorized schedule has been prepared.
- c. Regardless of schedule authorizations, agency personnel should not dispose of records if they are still needed by the agency for administrative, legal or fiscal purposes.

2. When to Dispose of Records

Avoid interferring with current operations. Pick a slack period and during this period carry out a housecleaning of the files. Prepare records for transfer to the records center and effect scheduled disposal at the same time. If possible, disposal and/or transfer should be done once a year. A good time for these functions is at the time file breaks are being made, usually at the beginning of the calendar or fiscal year.

3. Screening for Disposal

In order to dispose of a block of files, it may be necessary to remove certain folders or documents which have continuing values.

Such extraction of documents or folders from the files is called screening, and may involve either the removal for retention or the withdrawal of materials to be destroyed.

Folder by folder screening may be avoided by removing closed cases from the files and establishing a closed case file. For example, when claims cases have been closed or settled, they may be removed and refiled in a closed or settled claims file. Disposal of these files then can be executed in yearly blocks without screening for open or active claims.

Screening is costly and should be avoided if possible. Screening should be undertaken only if:

- a. Complete folders can be removed.
- b. Disposable materials are readily identifiable by information on the folder tabs.

4. Methods of Disposal

Disposable records should be sold as wastepaper unless:

- a. The quantities involved are too small.
- b. The market price is too low.
- c. The records can be sold only after expensive and time-consuming sorting and cleaning.

If the records are not saleable or if the agency considers that their destruction is necessary because of their privileged nature, they may be destroyed by shredding, burning, or other appropriate means under the supervision of a State employee.

5. Disposal Certification

Upon the disposal of a series of records, a Certificate of Records Disposal (DGS-RM-2) should be prepared (see Records Disposition Manual). The signed original should be sent to the Records Management Division and a copy retained in the agency files.

DEPARTMENT OF LICENSING AND REGULATION

Records Retention Schedules

This listing is designed to specify the records retention schedule and the item(s) of General Retention Schedule 612-1 that are applicable to the records of each Board and Commission. For instance, the records of the Board of Barber Examiners are covered by Schedule No. 612-15 in addition to Items 1, 2 and 3 of Schedule 612-

Board or Commission	Schedule Number	Schedule 612-1			
		Item 1	Item 2	Item 3	Item 4
All Boards and Commissions	612--1				
Office of the Secretary--Secretary of Licensing and Regulation	612--2		X		
Deputy Secretary of Licensing and Regulation	612--3		X		
Assistant Secretary of Licensing and Regulation	612--4		X		
Coordinator of Administration and Fiscal Services	612--5		X	X	
Administrative Services-Director				X	
Administrative Services-Print Shop	612--6		X		
Fiscal Services	612--7		X	X	
Investigative Services	612--8		X	X	
Legal Services	612--9			X	
Personnel Services	612-10		X	X	X
Accountancy, Maryland State Board of Public	612-11	X	X		
Architectural Registration Board, Maryland	612-12	X	X	X	
Athletic Commission, State	612-13	X	X	X	
Bank Commissioner, State	612-14		X		X
Barber Examiners, Board of	612-15	X	X	X	

Board or Commission	Schedule Number	Schedule 612-1			
		Item 1	Item 2	Item 3	Item 4
Building, Savings and Loan Assoc., Division of, Director's Office	612-16	X	X	X	
Chief Examiner	612-16		X		
Building, Savings & Loan Assoc.	612-16		X	X	X
Censors, Maryland State Board of	612-17	X	X	X	
Consumer Credit, Commissioner of	612-18		X	X	
Electrical Examiners and Supervisors, Board of	612-20	X	X	X	
Engineers, Board of Examining	612-21	X	X	X	
Engineers, Board of Registration for Professional and Land Surveyors	612-22	X	X	X	
Hearing Aid Dealers, Board of Examiners of	612-23	X	X	X	
Home Improvement Commission, Md.	612-24	X	X		
Horse Riding Stables, State Board of Inspection of	612-25	X	X	X	
Insurance Division, General Admini- stration Office of the Commissioner	612-26	X	X		X
Office of Executive Assistant to the Commissioner	612-26		X		
Examination and Property Section	612-27		X	X	
Education and Licensing Section	612-28		X	X	
Complaint & Investigation Section	612-29		X		
Hearings & Enforcement Section	612-30		X		
Life-Health Actuarial Section	612-31		X		
Rating and Forms Review Section	612-32		X	X	
Examination and Auditing Section	612-33		X	X	
Motor Vehicle Security Fund	612-34		X		
Moving Picture Machine Operators, Board of Examining	612-35	X	X	X	
Pilots, Board of Examiners of	612-36	X	X		
Practical Plumbing, State Board of Commissioners of	612-37	X	X		
Racing Commission, Maryland	612-38	X	X		
Real Estate Commission	612-39	X	X		